



INTERNATIONAL PRELIMINARY EXAMINATION REPORT  
(PCT Article 36 and Rule 70)

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Applicant's or agent's file reference BAH/PG4763		<b>FOR FURTHER ACTION</b> See Notification of Transmittal of International Preliminary Examination Report (Form PCT/IPEA/416)	
International application No. PCT/GB 03/00876	International filing date (day/month/year) 04.03.2003	Priority date (day/month/year) 06.03.2002	
International Patent Classification (IPC) or both national classification and IPC C07F9/10			
Applicant GLAXO GROUP LIMITED et al.			
<p>1. This international preliminary examination report has been prepared by this International Preliminary Examining Authority and is transmitted to the applicant according to Article 36.</p> <p>2. This REPORT consists of a total of 5 sheets, including this cover sheet.</p> <p><input type="checkbox"/> This report is also accompanied by ANNEXES, i.e. sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications made before this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions under the PCT).</p> <p>These annexes consist of a total of sheets.</p>			
<p>3. This report contains indications relating to the following items:</p> <p>I <input checked="" type="checkbox"/> Basis of the opinion</p> <p>II <input type="checkbox"/> Priority</p> <p>III <input type="checkbox"/> Non-establishment of opinion with regard to novelty, inventive step and industrial applicability</p> <p>IV <input type="checkbox"/> Lack of unity of invention</p> <p>V <input checked="" type="checkbox"/> Reasoned statement under Rule 66.2(a)(ii) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement</p> <p>VI <input type="checkbox"/> Certain documents cited</p> <p>VII <input type="checkbox"/> Certain defects in the international application</p> <p>VIII <input type="checkbox"/> Certain observations on the international application</p>			
Date of submission of the demand  16.09.2003		Date of completion of this report  16.02.2004	
Name and mailing address of the international preliminary examining authority:   European Patent Office D-80298 Munich Tel. +49 89 2399 - 0 Tx: 523656 epmu d Fax: +49 89 2399 - 4465		Authorized Officer  Boletti-Cremers, K  Telephone No. +49 89 2399-8541  	

**INTERNATIONAL PRELIMINARY  
EXAMINATION REPORT**

International application No. PCT/GB 03/00876

**I. Basis of the report**

1. With regard to the **elements** of the international application (*Replacement sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to this report since they do not contain amendments (Rules 70.16 and 70.17):*

**Description, Pages**

1-28 as originally filed

**Claims, Numbers**

1-20 as originally filed

2. With regard to the **language**, all the elements marked above were available or furnished to this Authority in the language in which the international application was filed, unless otherwise indicated under this item.

These elements were available or furnished to this Authority in the following language: , which is:

- ☐ the language of a translation furnished for the purposes of the international search (under Rule 23.1(b)).  
☐ the language of publication of the international application (under Rule 48.3(b)).  
☐ the language of a translation furnished for the purposes of international preliminary examination (under Rule 55.2 and/or 55.3).

3. With regard to any **nucleotide and/or amino acid sequence** disclosed in the international application, the international preliminary examination was carried out on the basis of the sequence listing:

- ☐ contained in the international application in written form.  
☐ filed together with the international application in computer readable form.  
☐ furnished subsequently to this Authority in written form.  
☐ furnished subsequently to this Authority in computer readable form.  
☐ The statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished.  
☐ The statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished.

4. The amendments have resulted in the cancellation of:

- ☐ the description, pages:  
☐ the claims, Nos.:  
☐ the drawings, sheets:

5. ☐ This report has been established as if (some of) the amendments had not been made, since they have been considered to go beyond the disclosure as filed (Rule 70.2(c)).

*(Any replacement sheet containing such amendments must be referred to under item 1 and annexed to this report.)*

6. Additional observations, if necessary:

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**V. Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability;  
citations and explanations supporting such statement**

**1. Statement**

Novelty (N)	Yes: Claims	1-20
	No: Claims	
Inventive step (IS)	Yes: Claims	
	No: Claims	1-20
Industrial applicability (IA)	Yes: Claims	1-20
	No: Claims	

**2. Citations and explanations**

**see separate sheet**

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**POINT V .**

The following documents , quoted in the I.S.R., have been considered as relevant for the examination of the present application . Their numbering will be adhered to for the rest of the procedure.

- (1) WO-A-03 01187(Point VI)
- (2) WO-A- 96 09816, cited in the application
- (3) WO-A- 90 15807.

**1. Novelty**

- 1.1 Although (1) as filed on 24.07.02 and published on 13.02.03 and claiming a priority right on 27.07.01, is not prior art according to the Chap II PCT proceedings, its content will not affect the novelty of the regional European proceedings to come, because (1) discloses aerosol surfactants compounds which are different of those presently claimed .

Whether the content of (1) is relevant for the examination of the inventiveness of the claims matter will only be investigated in the European regional phase and will essentially depend on the examination of validity of the priority rights claimed by present invention , which at present is not possible.

- 1.2 Present aerosol surfactants of formula (I) differ from those quoted in (2) and (3) by the presence of different side chains on the glycerophosphorylcholine skeleton. Therefore present claims can be regarded as novel.

**2. Inventiveness**

In view of the structural similarities of present side chains of the glycerophosphorylcholine compounds (I) and those quoted in the prior art (2) and (3) which also both relate to provision of aerosol surfactants , the Applicant will be invited to show either by argumentation or technical evidence at the entry of the application into the regional proceedings , that the claimed compounds (I) on file possess any advantage or surprising feature when they are compared with those of (2)

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and (3) in order to enable the acknowledgement of the inventiveness of the application with respect to their contents.

**3. Formal Points.**

- 3.1 (3) ( and possibly later (1)) should be quoted and briefly discussed in the description.